

Legal And Regulatory Compliance

Present in all industries, a critical consideration in many, legal and regulatory compliance often absorbs a great deal of resource, costs which multiply immediately that any problems arise. Compliance is also an international growth business and the complexities of meeting the requirements of the countries where you trade can be a significant incremental risk and the source of some of the highest profile prosecutions. Kingston Smith Consulting can help you navigate compliance risk, from advice on specific rules to broad support operating efficient compliance regimes we have the expertise to help you avoid mistakes. Our services include:

- Obtaining regulatory approvals and advising on managing the requests of regulatory authorities or assisting with dealing with their investigations.
- Supporting you in building a broad based framework for achieving and maintaining compliant status. The ability of management to monitor ongoing compliance is critical in most regimes and we can help you develop the procedures needed to achieve this. Our support can range from training or design advice, through to delivery of a fully outsourced compliance function.
- Through our international network of member firms we can procure detailed support to help you meet the compliance demands of other countries.
- Reviewing process and data quality issues which impact the accuracy of regulatory reporting, in particular the accuracy of tax reporting.
- Our consultants bring expertise in a wide range of legal, regulatory and quasi-regulatory regimes including the UK Financial Services Authority, US Sarbanes-Oxley and Foreign Corrupt Practices regimes, international anti-money laundering rules, data privacy law, Islamic finance governance, European capital requirement rules for financial firms, and many others.

Key People

- [Nick Alford](#)
- [Mark Child](#)
- [David Morrey](#)

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